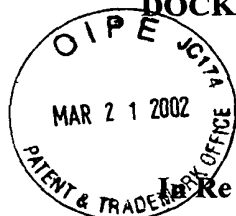


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DOCKET NO.: HER-0048/
DEV DKT 10209

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#6

In Re Application of:

Carla H. Kuhner, et al.

Serial No.: 10/005,931

Group Art Unit: 1642

Filing Date: November 12, 2001

Examiner: Not Yet Assigned

For: COMPOSITIONS AND METHODS OF USE OF PEPTIDES IN
COMBINATION WITH BIOCIDES AND/OR GERMICIDES

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Patrick J. Farley
TYPED NAME: Patrick J. Farley
REGISTRATION NO.: 42,524

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 C.F.R. §1.56 and in accordance with 37 C.F.R. §§1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 C.F.R. §1.56(b).

- ☒ In accordance with §1.97(b), since this Information Disclosure Statement is being filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of the above identified application as set forth in §1.491, before the mailing date of a first Office Action on the merits of the above-identified application, or before the mailing date of a first office action after the filing of request for continued examination under §1.114, no additional fee is required.

- ☐ In accordance with §1.129(a), this Information Disclosure Statement is being filed in connection with ☐the first or ☐second After Final Submission, therefore:
- ☐ Certification in Accordance with §1.97(e) is attached; or
- ☐ The fee of **\$180.00** as set forth in §1.17(p) is attached.
- ☐ In accordance with §1.97(c), this Information Disclosure Statement is being filed after the period set forth in §1.97(b) above but before the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311, or before an action that otherwise closes prosecution in the application, therefore:
- ☐ Certification in Accordance with §1.97(e) is attached; or
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- ☐ In accordance with §1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311 but before, or simultaneously with, the payment of the Issue Fee, therefore included are: Certification in Accordance with §1.97(e); and the submission fee of **\$180.00** as set forth in §1.17(p).
- ☐ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.
- ☒ Copies of references listed on the attached Form PTO-1449 are enclosed herewith EXCEPT THAT:
- ☒ In view of the voluminous nature of references **AA-AC, AH, AK-AL**, and the likelihood that these references are available to the Examiner, copies are not enclosed herewith.

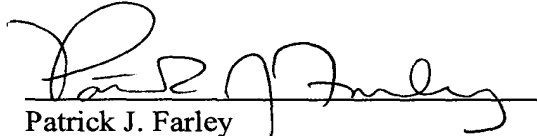
- ☐ In accordance with §1.98(d), copies of the following references listed on the attached Form PTO-1449 are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application(s) for which a claim for priority under 35 U.S.C. §120 have been made in the instant application:
- ☐ Copies of references [list as appropriate] listed on the attached Form PTO-1449 were previously cited by or submitted to the Patent and Trademark Office in prior application Serial No. , filed .
- ☐ If any of the foregoing publications are not available to the Examiner, Applicant will endeavor to supply copies at the Examiner's request.

Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050.

This form is submitted in duplicate.

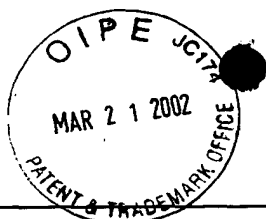
There are no listed references which are not in the English language.

Date: March 12, 2002


Patrick J. Farley
Registration No. 42,524

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Sheet 2 of 2

Form PTO-1449 Modified List of Patent and Publications Cited by Applicant (Use several sheets if necessary) U.S. Department of Commerce Patent and Trademark Office				Docket No. HER-0048/ DEV DKT 10209		Serial No. 10/005,931	
				Applicant Carla H. Kuhner, et al.			
				Filing Date November 12, 2001		Group 1642	
U. S. PATENT DOCUMENTS							
Examiner Initial		Document No.	Date	Name	Class	Subclass	
	AM	5,352,706 •	10/04/94	Donofrio, et al.	514	643	
	AN	5,416,121 •	05/16/95	Whitekettle, et al.	514	709	
	AO	5,416,122 •	05/16/95	Donofrio, et al.	514	709	
	AP	5,416,190 •	05/16/95	Mine, et al.	528	492	
	AQ	5,417,875 •	05/23/95	Nozaki	252	106	
	AR	5,432,184 •	07/11/95	Donofrio, et al.	514	345	
	AS	5,607,597 •	03/04/97	Wright, et al.	210	755	
	AT	5,939,086 •	08/19/99	Levy	424	405	
FOREIGN PATENT DOCUMENTS							
Examiner Initial		Document No.	Date	Country	Translation YES NO		
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		Applicant Carla H. Kuhner, et al.		
		Filing Date November 12, 2001	Group 1642	
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)				
*	AA	A Formulary of Cosmetic Preparations, 1993, Vol. 2		
*	AB	Goodman, et al., "The Pharmacological Basis of Therapeutics, 8 th Ed., 1990		
*	AC	Gutte, B. (Ed.), Peptides: Synthesis, structures and Applications, <i>Academic Press, NY</i> , 1995		
	AD •	Hancock, R.E.W., et al., "Cationic peptides: a new source of antibiotics," <i>TiB Tech.</i> , 1998, 16, 82-88		
	AE •	Hancock, R.E.W., "The therapeutic potential of cationic peptides," <i>Exp. Opin. Invest. Drugs</i> , 1998, 7, 167-174		
	AF •	Hancock, R.E.W., "Cationic bactericidal peptides," <i>Advances in Microbial Physiology, Academic Press</i> , 1995, 135-175		
	AG •	Lehrer, R.I., et al., "Defensins: natural peptide antibiotics from neutrophils," <i>ASM News</i> , 1990, 56(6), 315-318		
*	AH	Lloyd-Williams, P., et al. (Eds.), "Chemical Approaches to the Synthesis of Peptides and Proteins," <i>CRC Press, NY</i> , 1997		
	AI •	Merrifield, R.B., "Solid phase peptide synthesis. I. The synthesis of a tetrapeptide," <i>J. Amer. Chem. Soc.</i> , July 20, 1963, 85, 2149-2154		
	AJ •	Oh, J.E., et al., "Structure-activity relationship study: short antimicrobial peptides," <i>J. Peptide Res.</i> , 1998, 56, 41-46		
*	AK	Remington's Pharmaceutical Sciences, 18 th Ed., Part 8, 1990		
*	AL	The CTFA Cosmetic Ingredient Handbook, 2 nd Ed., 1992		
EXAMINER		DATE CONSIDERED		

* A copy of these references will not be forwarded to the U.S. Patent and Trademark Office since they are believed to be too voluminous and easily obtainable by the Examiner.